

---

# 2001 ANNUAL REPORT

## *Citizen's Transportation*

## *Oversight Committee*

William Gray Beyer

Chairman

---

William G. Beyer, Chairman  
Brian J. Campbell, Member At Large  
Tom Liddy, Maricopa County District 1  
Jim Lykins, Maricopa County District 2  
Ron Gawlitta, Maricopa County District 3  
Paul Schwartz, Maricopa County District 4  
Vacant, Maricopa County District 5



---

## CITIZEN'S TRANSPORTATION OVERSIGHT COMMITTEE

*On April 21, 1994, HB 2342 established a Citizen's Transportation Oversight Committee (CTOC) to facilitate citizen involvement in the decision making process of freeway planning and construction. Their primary responsibilities included review and advisory functions concerning the Regional Transportation Plan, the Transportation Improvement Plan (TIP), changes to the plan, and on the priorities regarding Proposition 300 freeways for corridor and segment development. It required that an annual audit be performed by an outside audit firm of the expenditures of the Regional Area Road Fund (RARF), along with necessary public hearings. Members were appointed for a maximum period of 3 years by each of the governing bodies of cities and towns and tribal councils in Maricopa County. The Governor appoints a Chairperson and a member at large. Staff and coordination support was to be provided by the Special Assistant for the Regional Freeway System.*

*HB 2172 was passed in 1996 that repealed the existing CTOC and created a new seven member CTOC with the same statutory responsibilities as the original committee. The new CTOC is authorized to; review and make recommendations regarding any proposed major revision to the MAG Transportation Improvement Program; consult with the State Auditor General regarding the required performance audit of the Regional Freeway System; receive and make recommendations to MAG regarding citizens complaints relative to MAG's statutory responsibility over the Regional Freeway System; and receive, review and make recommendations to the State Transportation Board regarding citizens complaints about the Regional Freeway System. The seven-member committee consists of five members appointed by each of the members of the County Board of Supervisors, an at large member appointed by the Governor and a Chairperson appointed by the governor. Members previously appointed by the local jurisdictions under the old legislation could opt to complete their original term.*

*The CTOC Chairperson is a voting member of the MAG Regional Council on matters related to the Regional Freeway System, and a nonvoting member of ADOT's Priority Planning Committee.*

---

# TABLE OF CONTENTS

<b>CITIZEN'S TRANSPORTATION OVERSIGHT COMMITTEE .....</b>	<b>ii</b>
<b>TABLE OF CONTENTS .....</b>	<b>iii</b>
<b>SECTION 1 ISSUES, CONCERNS &amp; RECOMENDATIONS.....</b>	<b>1</b>
<u>COMMITTEE FINDINGS AND RECOMMENDATIONS</u> .....	1
<u>CONCLUSION</u> .....	8
<b>SECTION 2 STATUTORY PERFORMA .....</b>	<b>9</b>
<u>MEETINGS</u> .....	9
<u>MEMBERS</u> .....	10
<u>ADMINISTRATIVE ITEMS</u> .....	11
<b>SECTION 3 INFORMATIONAL AGENDA ITEMS .....</b>	<b>13</b>
<u>PROGRAM REVIEWS</u> .....	13
<u>STUDIES</u> .....	15
<b>SECTION 4 APPENDIX .....</b>	<b>16</b>
APPENDIX A.....CTOC 2001 ISSUES DATABASE	17
APPENDIX B.....CTOC STATUTE	18
APPENDIX C...FINANCIAL COMPLIANCE AUDIT REPORT	19
APPENDIX D.....2000 PERFORMANCE AUDIT STATUS	20
APPENDIX E.....LIST OF MAJOR ISSUES	21
APPENDIX F.....JULY 2001 REGIONAL FREEWAY MAP	23

---

## **SECTION 1            ISSUES, CONCERNS & RECOMENDATIONS**

Over the past twelve months, the Citizen's Transportation Oversight Committee ("CTOC") has essentially performed two functions, as called for by its enabling statute. First, the committee performed a review of various programs implemented by the Arizona Department of Transportation ("ADOT") as they related to the regional transportation system in the Valley. Secondly, the committee actively sought out public opinion concerning ADOT's performance and recommendations to improve the development of the current Regional Freeway System.

CTOC met on a monthly basis to review the work done by ADOT. Three of those meetings took place in various locations throughout the Valley. CTOC also receives numerous letters and emails from concerned citizens. The public input received is documented and maintained in an "Issues Database". A listing of the issues receiving major attention from CTOC in their meetings is shown in **Appendix 'A'**.

As a result of its meetings and deliberations, CTOC has identified the following list of major concerns regarding the Valley transportation system and ADOT's performance in the development of the system, which it believes, needs further action, emphasis and review.

### **COMMITTEE FINDINGS AND RECOMMENDATIONS**

#### **1.            MAINTENANCE**

Perhaps the most chilling testimony which CTOC heard over the course of the past year came in the form of a report by ADOT on the planned funding available for maintenance on completed sections of the regional freeway system. What is clear from current information is that if present funding levels are projected into the future, we will have built an outstanding freeway system which will promptly start deteriorating in a manner which seriously limits its effectiveness. What was shocking to

CTOC was the magnitude of the funding which will be required to support maintenance, and a complete absence of recognition in current funding plans of the size of the financial need which we are facing. It is hard to imagine a more shortsighted public policy than the one that the State of Arizona has currently embarked.

Many cities in the United States are currently providing horrid examples of the failure to adequately plan for and fund the maintenance of the infrastructure which has been built at such high cost to serve the public's needs. A failure to adequately maintain any public infrastructure, but especially freeways, only results in far worse repair costs in the future, coupled with a degeneration in the performance which the public has a right to expect from the investment which it has made. Arizona is being adequately warned that its governmental processes are currently on a path, which ignores the need for planned freeway maintenance, but there is little or no recognition of or response to the need.

**Recommendation: Legislative recognition of the magnitude and extent of the coming shortfall in funding for maintenance of the Regional Freeway System needs to be established, and adequate funding mechanisms for that needed maintenance must be put in place.**

## 2. EXTENSION OF THE HALF-CENT SALES TAX

Arizona can be justly proud of the regional freeway system, which is currently under construction. Those of us who have lived in the Valley for a long time are extremely appreciative of the freeway system now in operation. However, the distinguishing feature of the freeway system, which has been built thus far, is how quickly it has come into heavy use. We no sooner open a new section of freeway and we begin to see overloading at critical times. This provides clear evidence of two facts. First, population growth, especially in outlying areas of the Valley, is exploding, and Arizonans (like people in every metropolitan area) need to move around for work and other social needs in patterns that criss-cross the Phoenix Valley in every direction. In addition, the future population growth curve shows no signs of leveling off. Second, the freeway system which was clearly envisioned in 1985 as being needed to serve the Valley still hasn't been built and won't be built by 2007, when the present freeway construction program will grind to a halt for lack of funding.

The compromise made in 1995 to build only a portion of the planned freeway system clearly recognized that the population migration to the

---

Valley was not about to slow down. People who understood the problem of future growth accepted the compromise as being fiscally necessary at the time, but there was no lack of recognition that an extension of the one-half cent sales tax would have to be made by 2005 when the current tax expires. Major areas of the planned transportation system remain unbuilt and unfunded. Grand Avenue, the 303 loop, and a western extension of the South Mt. corridor (Loop 202) are examples of elements of the system that will need completion. In addition, rapid population growth has meant that an expansion of the facilities through out the Valley will be needed well in advance of the 1985 predictions. If anything, the foresight of those who, in 1995, saw the need to continue financing our transportation infrastructure was optimistic. Completing the originally planned freeway system will not just be desirable; rather, it has become essential.

**Recommendation: The Legislature and other affected governing bodies must begin now to plan for public acceptance of the ½ cent sales tax needed to complete and expand the Regional Freeway System.**

### 3. GOVERNANCE

The CTOC Annual Report for 1999 recognized that there was an emerging problem with the public's perception in respect to the governance of the development of transportation needs in the region. Transportation issues are currently being managed by a wide variety of organizations, with cooperation and coordination often being in short supply. Organizations such as ADOT, MAG, McDOT, RPTA and the 27 municipalities of the Valley all have a part to play in how transportation is planned and developed. However, no single agency has overall command and control over what our regional transportation system will be and how it will function. Moreover, since there is no overall responsibility, there is no real public accountability at a regional level.

CTOC, through its public meetings, saw ample evidence of a public concern over "who's in charge?" The public generally saw that it was virtually impossible to pin anyone or any organization down in terms of responsibility for what was or was not being done as part of regional transportation planning or development. CTOC, along with many others, also concluded that the public would be very unlikely to support an extension of the half-cent sales tax without seeing some kind of governance arrangement which would assure better performance in spending tax money wisely. The public's perception that a regional (as opposed to local) view of our transportation needs is needed has been seen by CTOC as a major potential barrier to being able to "sell" an extension of the tax.

---

Both the Governor's Office (through the Vision 21 process) and the Regional Council of MAG have recognized that there is a real need to address the governance issue and have done so, even though they moved along separate paths. Their work has been comprehensive and their findings should be well worthwhile in focusing attention on needed changes.

CTOC takes no position on which of the respective approaches (which are widely at variance) of Vision 21 or MAG is appropriate. What is clear, however, is that the governance issue must be resolved if the public is to have any faith in or give any support to an extension of the sales tax.

**Recommendation: Both legislative and public support for any extension of the one-half cent sales tax is essential, and hence the governance issue must be resolved in the next year. Whatever change is made in the existing governance structure, it must provide the public with a sense that there is some clear focus of responsibility, exercised on a regional basis, for the completion of an effective valley-wide transportation system.**

#### 4. PERFORMANCE AUDIT

Perhaps the most important role, which CTOC must play, is to provide assurance to the legislature and the governor that indeed the Regional Freeway System will be completed on its current schedule. At least half of CTOC's meetings have involved presentation items from ADOT, which address the various issues concerning scheduled completion of the major elements of the freeway system. However, these review items, while important to CTOC's understanding of progress toward completion, provide only a piecemeal view of the entire freeway construction picture.

The process, which provides an overview of the entire construction program is the performance audit, which is mandated in CTOC's enabling statute every three years. That performance audit is performed by the Office of the Auditor General, and typically is subcontracted to a competent outside consultant.

But as reported in the year 2000 report by CTOC, the most recent performance audit failed to answer the one basic question which that audit is supposed to address: namely, the status of the construction schedules for the freeway system. In the past year, CTOC worked with the management of ADOT to review and support the actions the Department has undertaken to improve its project management capability. That emphasis on improvements in the Department's ability to manage its various projects has been, in CTOC's opinion, the best approach to

---

assuring that the schedules for completion of the freeway system by 2007 were reliable.

However, the performance audit concept, which is defined in CTOC's enabling statute, is an extremely important tool for understanding whether all the work shown on the construction schedules will indeed be completed on time. CTOC is very concerned that the problem encountered in 2000 is not repeated. That is, the performance audit to be done in 2003 must provide a much more definitive answer to whether or not the construction schedules are indeed realistic. In looking at the conduct of the 2000 audit and what could be done to prevent another such lapse, CTOC believes that we might have gotten a more useful result had the scope of the audit (as given to the contractor) had been more specific. That is, in retrospect, it would likely have been helpful if the contractor had been given an express and specific scope of work which required it to come up with a clear assessment of the integrity of the construction schedules.

**Recommendation:** Prior to the next performance audit, ADOT, working in conjunction with the CTOC chairperson, should create a definitive and specific "scope of work" document which, among other things, demands that the consultant make an express finding as to the integrity of the construction schedules and provides an opinion, based on the facts which it has researched, as to whether the freeways will be completed on schedule.

## 5. SINGLE LANE RAMPS

One of the most bothersome facets of freeway design is the sizing of on/off ramps at freeway interchanges. ADOT engineers do their best to use traffic projections, which help forecast the amount of projected flow which will occur on the on/off ramps, and then select the sizing of those elements accordingly. Unfortunately, it has been CTOC's observation that single lane freeway on/off ramps frequently seem to load up much faster than projected, and we then find ourselves having to undertake costly rework projects to accommodate greater-than-anticipated traffic flows.

CTOC doesn't presume to any engineering expertise which would tell ADOT how to do a better job of avoiding the problem of repeatedly having to expand the capability of single-lane ramps. However, we have seen several examples of single lane, freeway on/off ramps having to be reworked in a relatively short time after their construction that we believe it is an issue of concern. Part of the problem is that it is substantially cheaper to build a one-lane ramp initially as compared to the costs of a dual lane ramp. While we can sympathize with ADOT's concern regarding costs, we feel that the present practices on ramp sizing are short-sighted

---

in the sense that the initial incremental costs of dual lanes (as compared to single lanes) are really cheap when compared to the costs of the inevitable expansion which is required a short time later.

**Recommendation:** ADOT should give greater consideration to designing the on/off ramps for major interchanges as dual lane ramps even if that means taking a more optimistic view of projected traffic flows. We recommend that our initial designs reflect more of a long-term view.

## 6. EARLY PURCHASE OF RIGHT OF WAY

For at least the past three years based on, both public testimony and the views of CTOC members, CTOC has urged ADOT to purchase right of way much earlier in the planning cycle than has been done in the past. This recommendation was based on the obvious escalation on ROW costs as purchases were made late in the planning cycle and land costs inevitably had risen well beyond budget projections. In the past, ADOT has been reluctant to change their practices, because they have been burdened with useless land when changes were made to given freeway sections. Recently, ADOT has made a stronger effort to accurately identify and purchase right of way early. CTOC applauds their current efforts and encourages the continuation of early right of way acquisition.

Clearly, there has to be a reasonable balance in the timing of right of way purchases. Purchasing too early can pose a financial risk just as serious as waiting until much later in the design cycle. Moreover, CTOC certainly respects the risks, which ADOT has to take concerning purchasing right of way regardless of when those decisions are made.

Unfortunately, CTOC has also had to listen each year to ADOT complaints about the extraordinary escalation of the costs of purchasing right of way. While we are sensitive to, and indeed are sympathetic to, the box which ADOT historically has been in regarding the timing of the purchase of ROW, we feel that experience of the regional freeway system shows that it would be better to purchase ROW much earlier in the cycle than is presently being done.

**Recommendation:** ADOT should consider the purchase of right of way land significantly earlier in the planning cycle than is being done at present.

## 7. CITIZENS ADVISORY TEAM (CAT) PROGRAM

In designing the 202/60 interchange in Mesa, the Department was faced with a number of concerns and complaints from the citizens who would be affected by the design of that interchange. Since there were a number of possible design arrangements which could be made to accomplish the traffic requirements for that interchange, the Department undertook an extensive program of public involvement in selecting the design which would meet the concerns of most of the citizens in the Mesa community. That public input process was labeled the "CAT" program, and was one of the more successful public outreach programs of its kind. A very substantial level of public communication and multiple public meetings provided an opportunity for local citizens to have a strong voice in the design decisions which were made for that interchange. In addition, and of equal importance, was the serious effort put forth by ADOT to listen to the community and to perform its design work in a manner which was responsive to that public involvement.

CTOC would like to commend ADOT for the public involvement process, which it carried out in evaluating design alternatives for the 202/60 interchange, and to encourage the use of similar processes in making future choices in major freeway elements.

**Recommendation:** CTOC suggests that the "lessons learned" in managing the CAT process for the 202/60 interchange be applied to design considerations in planning future major elements of the freeway system.

## 8. COORDINATION OF FREEWAY DESIGN WITH OTHER TRANSPORTATION PROGRAMS

One of the most complex problems facing freeway designers is the challenge of making the design of the major elements of the system be compatible and consistent with the design of other major transportation programs currently in the process of development in the region. Public concern has been expressed regarding the fit between the design of our freeways and other transportation programs such as bike paths, the Phoenix-Tempe City on/off ramp street modifications, rapid transit program and future mass transit programs. Of concern also is how the Right of Way of the freeways can be used with more sophisticated mass transit programs, which may be developed in the future. For example, aerial light rail installed over existing freeway routes may be a viable option in the future, and deserves planning consideration right now. It would be asking too much of ADOT at this time to expect that it could coordinate its

---

design work with all the various other programs which are either in development (and changing almost daily) or which are just a future hope.

Nonetheless, the transportation requirements of this region will, in the foreseeable future, go beyond the ability of freeways to serve the growing population. At that point, it will be essential to integrate the freeway system with other transportation modes, which will come later. Unfortunately, while CTOC can foresee the need for such future integration, it has no information on how an integration with future transportation modes should be accomplished. Accordingly, we are left with simply encouraging ADOT to recognize the future need for integration and coordinate as closely as possible with all those entities who are involved in the development of alternate transit modes so that they, in turn, can be as effective as possible. This need for integration with future transit modes should be a major element in the planning process currently being undertaken within ADOT.

**Recommendation: CTOC suggests that ADOT's planning process be expanded in its scope to include as much coordination as possible with entities involved in the development of future transit modes in an effort to make the total future system as effective as possible.**

## **CONCLUSION**

The eight recommendations given above focus on areas of the regional transportation program that may need improvement. The discussion should not, however, obscure the fact that many, many things are going right in the State's effort to achieve a better regional transportation system. It is always a concern that any analysis which addresses needed changes never presents a balanced picture of all the good work being done by the many competent and dedicated professionals now engaged in our transportation programs. Again and again, CTOC has been impressed with the work it sees ADOT doing in so many areas. And as a result, CTOC would not want the above suggestions to be taken as any kind of broad criticism of the performance of all those people and organizations who are currently engaged in doing the best they can to provide the Valley with the best possible regional transportation system.

---

## **SECTION 2            STATUTORY PERFORMANCE**

CTOC statutory authority and responsibilities are defined in the Arizona Revised Statutes, A.R.S. § 28-6356. This section of the report provides a summary of CTOC membership and regular CTOC administrative responsibilities. A.R.S. § 28-6365 is shown in **Appendix 'B'**.

### **MEETINGS**

The Citizen's Transportation Oversight Committee (CTOC) met 9 times in 2001 including three regional meetings for citizen input. The committee reviewed and discussed a broad range of topics. Section 1 of this report, makes recommendations that may help address the critical issues reviewed by CTOC during 2001. Section 3, summarizes the informational items presented to the Committee for discussion, possible action and public input. The CTOC regional meetings provided rich insight to public thinking and perceptions on a variety of transportation issues.

### **CTOC REGULAR MEETINGS**

The majority of the regular CTOC meetings were held at the Arizona Department of Transportation, Transportation Board Room, 206 South 17th Avenue, Phoenix, Arizona. The September meeting was held at the ADOT Traffic Operations Center (TOC) so the CTOC members could see first hand the ADOT Intelligent Transportation Systems. The meeting dates follow:

Tuesday, January 16, 2001

Tuesday, March 20, 2001

Tuesday, May 15, 2001

Thursday, July 19, 2001

Tuesday, September 18, 2001 - TOC

Tuesday, November 20, 2001

## CTOC REGIONAL PUBLIC MEETINGS

CTOC held three regional public meetings to seek out views and opinions of the public regarding transportation issues. The Committee sought out responses to the following questions:

- How does the current freeway, transportation systems serve your needs?
- What improvements would you like to see made to the current system?
- How would you propose to pay for such improvements?

The Committee held Public meetings on the following dates and locations:

**Scottsdale • Thursday, April 26, 2001**

**Peoria • Thursday, August 23, 2001**

**Mesa • Thursday, October 25, 2001**

## MEMBERS

The following is a list of current members as of December 2001.

<u>MEMBER</u>	<u>TERM EXPIRES</u>
William Beyer, Chairman	January 2002
Brian Campbell, Member at Large	January 2002
Tom Liddy, Supervisor's District 1	June 2004
Jim Lykins, Supervisor's District 2	February 2003
Ron Gawlitta, Supervisor's District 3	January 2002
Paul Schwartz, Supervisor's District 4	March 2004
Vacant, Supervisor's District 5	

## **ADMINISTRATIVE ITEMS**

### **FINANCIAL COMPLIANCE AUDIT**

Under A.R.S. § 28-6356, subsection F7, CTOC is required to contract an independent financial compliance audit of the Regional Freeway System expenditures. The firm of Deloitte & Touche was contracted to perform the audit. In the auditor's opinion, the related statements of revenues, expenditures and changes in fund balances for Fiscal Year 2001 present fairly, in all material respects, the financial position of the Maricopa County Regional Area Road Fund. The results of ADOT's operations for the year ended in conformity with accounting principles generally accepted in the United States of America.

Mr. Brian Campbell, member at large, assisted ADOT staff in communicating the guidelines and objectives to the auditors. The main objective, in addition to those requirements spelled out in statute, was to assure that the audit sampling included design, right of way and construction projects from all the various freeway corridors.

CTOC will report the audit findings back to the Governor, the Legislature and the ADOT Board. As was determined last year, CTOC members will communicate guidelines and objectives to the auditors that are conducting the audit in a fashion that a corporate Board of Directors would oversee the outside auditors. A summary of the Financial Compliance Audit findings follows:

- Performed in accordance with A.R.S. § 28.6301 -28.6392
- Year ending June 30, 2001
- Expenditures reviewed covered design, right of way and construction on six different corridors
- Codes in the Fund's Charging Guidelines were determined to be allowable costs
- Total expenditures did not exceed budgeted amounts

The final financial compliance audit findings are shown in **Appendix 'C'**.

## REGIONAL FREEWAY 2000 PERFORMANCE AUDIT

CTOC is required, under A.R.S. § 28-6356, subsection F8, to consult with the Auditor General in setting parameters for a performance audit prescribed in A.R.S. § 41-1279.03 and to review and make recommendations made in the audit. The Auditor General's Office initiated the 2000 Regional Freeway Performance Audit by soliciting the committee's input as to the questions the audit should attempt to answer. Sjoberg Evashenk Consulting performed the audit in 2000.

ADOT has established audit action plans for implementation of the audit recommendations. Quarterly reports are given to CTOC as part of the Staff Report at the regular CTOC meetings. A copy of the latest quarterly audit, status report is shown in **Appendix 'D'**.

## FY 2001 ANNUAL BUDGET

The FY 2002 budget for CTOC was approved at \$40,800 for the fiscal year beginning July 1, 2001 to June 30, 2002. Funding expenditures included funding for annual financial compliance audit (\$13,000), personal services, employee related expenses, professional and outside services, travel and other operating expenses totaling \$27,800.

## **SECTION 3      INFORMATIONAL AGENDA ITEMS**

There were many presentations made to CTOC that provided the Committee with background information and an opportunity to discuss a variety of transportation issues. The following is a list of many of the agenda items presented to the Committee for information in 2001. A summary of agenda items heard by the committee at their six regular CTOC meetings is shown in **Appendix 'E'**.

### **PROGRAM REVIEWS**

#### **FIVE-YEAR PROGRAM IN MAG REGION**

ADOT presented the draft tentative FY 2002 – 2006 Five Year Transportation Facilities Construction Program in the MAG region at the January 16, 2001 regular meeting. The review of the proposed tentative program included an overview of the Federal Program Guidance, a cooperatively developed Funding Estimate, Project Selection Process and a recommendation of new projects to be added to the program in the fifth year.

In September, the ADOT Chief Financial Officer gave an overhead presentation regarding the impact of legislative and budget issues on the Five-Year Program Cash Flow Analysis.

#### **REGIONAL FREEWAY LIFE CYCLE PROGRAM**

ADOT updates the Regional Freeway System Life Cycle Program annually. The Transportation Board publishes a Tentative Life Cycle Program in February for approval, which includes the Regional Freeway

System Life Cycle Program. A summary of the revenues, costs, changes and additions that are included in the FY 2002 - 2006 Life Cycle Program were presented to CTOC for review and comment.

The January 20, 2001 regular meeting included a brief overview of the Life Cycle Program Management philosophy, update of the Life Cycle Program status and the results of the January 2001 assessment of the updated revenue and costs. The construction costs were in line with normal annual cost increases. The right of way costs raised significantly, primarily due to the land use changes occurring in the Santan Corridor. Most of the land use along the Santan freeway corridor is changing from vacant or agricultural to residential and commercial. Fortunately, sufficient revenue increases offset the increased costs. CTOC members urged ADOT to look for ways to accelerate right of way purchases as a strategy to avoid further cost increase in the future.

As part of the Life Cycle programming process, ADOT biannually certifies the project revenues and cost are in balance. CTOC reviewed the January 2001 and July 2001 Life Cycle Certification reports, which review progress of the Regional Freeway System program and identify projections and changes in program revenues and costs. The July 2001 Regional Freeway Certification Map can be found in **Appendix "F"**.

## **MAG REGIONAL TRANSPORTATION PLAN**

An overhead presentation titled "What Will We Leave Our Grandchildren – 2040" was given by the MAG Transportation Manager at the March 20, 2001 CTOC. Growth issues that affect transportation by 2040 were reviewed. The growth impacts are being considered as part of the development of a new Regional Transportation Plan currently underway. MAG kicked off a 2-year effort to develop a new Regional Transportation Plan based on input from the transportation stakeholders and citizens in the region. CTOC members were encouraged to participate in future planning workshops.

## **STUDIES**

### **HIGH OCCUPANCY VEHICLE / HIGH OCCUPANCY TOLL STUDY**

Beginning in 1999, ADOT, in partnership with MAG, initiated a financial feasibility study for High Occupancy Toll Lanes and an update on the 1994 HOV Plan. Parsons Transportation Group was selected to perform the research study. The final draft is near completion and should be available for distribution early in 2002.

The study consultant provided an overhead presentation on High Occupancy Vehicle (HOV) and High Occupancy Toll (HOT) lanes at the March CTOC meeting. The presentation gave an overview of the study process and draft conclusions and recommendations. The recommendation included a proposed update of the 1994 HOV Plan for the MAG Freeway System and feasible HOT lane corridors. Some committee members questioned the levels of HOV lane use due to the high violation rates. There was also additional concern that access to HOV lanes was difficult during peak periods.

---

## **SECTION 4      APPENDIX**

APPENDIX A	CTOC 2001 ISSUES DATABASE
APPENDIX B	CTOC STATUTE
APPENDIX C	FINANCIAL COMPLIANCE AUDIT
APPENDIX D	2000 PERFORMANCE AUDIT STATUS
APPENDIX E	LIST OF MAJOR ISSUES
APPENDIX F	JULY 2001 REGIONAL FREEWAY MAP

## CTOC 2001 ISSUES

<i>ID</i>	<i>Date</i>	<i>Issue Description</i>	<i>Issue Source</i>	<i>Form of Request</i>	<i>Agency(s) Impacted</i>	<i>Issue Type</i>	<i>Summary/Comment</i>
1	01/16/2001	So. Mt Fwy Align	Paul Schwartz	Meeting minutes	ADOT	Freeway	Issue concerning the connection of So Mt Fwy to I-10 West near 51st Ave. EIS to address alternatives
2	01/16/2001	I-17 101L - Blk Cyn City	Ron Gawilitta	Meeting minutes	ADOT	Freeway	Issue related to designing of Fr. Rds, to be addressed in Concept Study underway, future Agenda Item
3	01/16/2001	Escalating RW Cost	Scott Newton	Meeting minutes	ADOT	Freeway	Questioned why R/ W cost so high, ADOT team is reviewing the issue and will provide recommendations to CTOC at a future meeting
4	03/20/2001	Grand Ave Imp. 101L-303L	Gerald Under	Meeting minutes	ADOT , MAG, Local	Freeway	Public Comment need to finish 303 north, Imp. Olive Ave, Conn El Mirage overcrossing Grand, Traffic Control
5	03/20/2001	Transit Planning	Blue Crowley	Meeting minutes	MAG & RPTA	Transit	Not spending enough on Transit
6	03/20/2001	Bicycle Facility	Blue Crowley	Meeting minutes	ADOT & COP	Bicycle	Prefers planned bike bridge over I-17 be an underpass rather than the programmed bike bridge
7	03/20/2001	Elevated Transportation	Ron Gawilitta	Meeting minutes	MAG	Transit	Want CTOC to take the lead in promoting aerial or elevated transit planning
8	03/22/2001	Grand Ave Area 101L-303L	Sun City HOA	Letter / Memo	MAG & ADOT	Freeway	Provide Comments to MAG regarding Sun City HOA Comments on Grand Ave Study
9	04/26/2001	Transit Planning	Nicole Witteveld	Public Meeting	MAG	Transit	Planners should give more attention to Public forms of Transportation
10	04/26/2001	101L Signing	Roland Hayes	Public Meeting	ADOT	Freeway	Suggested exit signing at Pima Rd changed to "Pima Road South Only". Also traffic management at Princess Dr.
11	04/26/2001	Completion 101L & SR51	Wayne Ecton, COP	Public Meeting	ADOT	Freeway	Would like the completion of SR51 & Pima 101L accelerated. Freeways are freeing up city streets
12	04/26/2001	Multimodal planning	Rich Rummer, Coalit	Public Meeting	MAG	Multimodal	Requested that Transporation Plans be multimodal. Highways are barriers for people and bicycles. More bike lanes are needed

<i>ID</i>	<i>Date</i>	<i>Issue Description</i>	<i>Issue Source</i>	<i>Form of Request</i>	<i>Agency(s) Impacted</i>	<i>Issue Type</i>	<i>Summary/Comment</i>
13	04/26/2001	Transit Planning	Blue Crowley	Public Meeting	RPTA	Transit	Questioned RPTA Short Range Transit Budget; Not enough money spent on transit, \$1.6 billion on roads & \$0.3 million on transit; the Scottsdale area needs heavy rail options.
14	04/26/2001	Freeway noise	Amy Merelli	Public Meeting	ADOT	Freeway	Noise levels on the Pima are increasing due to speed. Requested a noise barrier and a reduction of the speed limit to 55.
15	04/26/2001	Transportation Planning	Bob Schmid	Public Meeting	ADOT & MAG	Planning	Encouraged inovative thinking to find ways to keep ahead of transportation demands. Suggested that additional lanes are needed now before congestion worsens and cost go up.
16	04/26/2001	Freeway noise	Bill Williams	Public Meeting	ADOT	Freeway	Public officials need to experience noise problem first hand. Appreciates ADOT effort to do noise study
17	04/26/2001	Freeway noise	Barbara Fazio-Etkin	Public Meeting	ADOT	Freeway	The character and quality of her neighborhood has been damaged by freeway noise. She can't sleep or enjoy her backyard.
18	05/15/2001	Budget	Bill Beyer	Meeting minutes	ADOT	Budget	What will be the impact from the Legislatures budget cuts.
19	05/15/2001	Transit	D.D. Barker	Meeting minutes	ADOT	Transit	Suggested we take some of the money from Phx. Trolley that goes to RPTA.
20	05/15/2001	Transportation Plan	Blue Crowley	Meeting minutes	ADOT & MAG	Planning	Stated the figures in the Short Range Transportation Plan do not coincide with those of TIP.
21	05/22/2001	Wickenburg Bypass	Dana Burden	Letter / Memo	ADOT & MAG	Freeway	Current proposed changes for Canamex Corridor and the Bypass path in Wickenburg.
22	06/13/2001	Transit	Ron Gawilitta	Letter / Memo	ADOT & MAG	Transit	Light Rail verses an Aerial System for transit in the valley's future.
23	07/19/2001	Const.Safety Zones	Ed Johnson	Newspaper	ADOT	Freeway	Article - Chicago newspaper re: lower speed limits in fwy. construction zones. AZ bill just passed to double fines here.
24	07/19/2001	Grand Ave 101L	Ron Gawilitta	Meeting minutes	MAG	Freeway	Concern re: 101L study - he doesn't feel it will help traffic flow. Mr.Anderson to give presentation in future to CTOC.

<i>ID</i>	<i>Date</i>	<i>Issue Description</i>	<i>Issue Source</i>	<i>Form of Request</i>	<i>Agency(s) Impacted</i>	<i>Issue Type</i>	<i>Summary/Comment</i>
25	07/19/2001	Transportation Planning	Bill Beyer	Meeting minutes	MAG	Planning	Concern with traffic back-up on freeways/ramps. MAG is beginning a bottleneck study.
26	07/19/2001	Multimodal Planning	Paul Schwartz	Meeting minutes	MAG	Multimodal	Stated MAG doesn't adequately address alternative transportation modes. Need a separate authority for alternatives.
27	07/19/2001	Transportation Planning	Ron Gawilitta	Meeting minutes	ADOT	Freeway	Expressed concern about I-17 traffic load. He feels we need secondary roads. ADOT is doing a study of I-17 corridor Loop 101-Black Canyon City
28	07/19/2001	Transportation Planning	Bill Beyer	Meeting minutes	ADOT	Planning	303 should connect to I-17 or the Lone Mt. Needs a TI. A DCR/EA study is just beginning for 303L, I-17 and Lone Mountain.
29	07/19/2001	Alternative Fuels	Bill Beyer	Meeting minutes	ADOT	Air Quality	He would like to hear information on alternative fuels. To be addressed at a future meeting.
30	07/19/2001	Freeway noise	Ron Gawilitta	Meeting minutes	ADOT	Freeway	Questioned whether a comparison study has been done on the rubberized asphalt. Mr. Lance stated study is underway.
31	07/19/2001	Transit	Bill Beyer	Meeting minutes	MAG	Transit	Concerned about Light Rail system. Advised MAG is studying the issue.
32	08/23/2001	Transportation Planning	Bill Beyer	Public Meeting	ADOT	Planning	Recommends Lone Mountain be the choice of alignment.
33	08/23/2001	Transportation Planning	Bill Beyer	Public Meeting	ADOT	Planning	Recommended discretion when determining the number of stop lights on Grand Ave to avoid bottlenecks.
34	08/23/2001	Transportation Planning	Bill Beyer	Public Meeting	ADOT	Planning	Questioned when work to start on Union Hills. Mr. Moody stated McDot & Glendale are now doing design & studies.
35	08/23/2001	Transportation Planning	Jan Brewer	Public Meeting	ADOT	Planning	Recommended CTOC focus on improving S.R.60 in the west valley. Also, Lone Mt. Is there alignment of choice.
36	08/23/2001	1/2 cent sale tax	Bill Beyer	Public Meeting	Legislature	Financial	Commented he feels the 1/2 cent sales tax is still needed.
37	08/23/2001	MAG Trans.Authority	Bill Beyer	Public Meeting	MAG	Administrative	Questioned whether the public & Legislature are confident MAG is the appropriate regional transportation authority.

<i>ID</i>	<i>Date</i>	<i>Issue Description</i>	<i>Issue Source</i>	<i>Form of Request</i>	<i>Agency(s) Impacted</i>	<i>Issue Type</i>	<i>Summary/Comment</i>
38	08/23/2001	Transportation Planning	Pat Dennis	Public Meeting	ADOT	Planning	Asked that overpasses continue further west on Grand Avenue.
39	08/23/2001	Transit	Joe Ryan	Public Meeting	RPTA	Transit	Submitted letter, commenting on the need of rapid transit/funding. Also, elevated transit is less expensive than trolley.
40	08/23/2001	Transportation Planning	Jim Book	Public Meeting	ADOT	Planning	Commented on the benefits of using auxiliary lanes and urban TI's.
41	08/23/2001	Transportation Planning	Pat Hickson	Public Meeting	ADOT	Planning	Asked for CTOC's support of the Beardsley connection to Loop 101 to deter extreme traffic congestion.
42	09/12/2001	Easement Drainage	Vicki Sears	Letter / Memo	ADOT	Freeway	Letter regarding damages to common areas caused by ADOT Easement drainage.
43	09/12/2001	Future Fwy. Projects	Donald Burns	Letter / Memo	MAG	Planning	Letter regarding suggestions for future Maricopa County Freeway Projects.
44	09/18/2001	Current World Event	Tom Liddy	Meeting minutes	ADOT	Financial	Concerns regarding the financial impact on ADOT since the terrorist attacks.
45	09/18/2001	CTOC Annual Report	Bill Beyer	Meeting minutes	ADOT	Financial	Request ADOT/John McGee review CTOC's financial report prior to publication of annual report.
46	09/18/2001	Hydrogen Fuel	Bill Beyer	Meeting minutes	ADOT	Air Quality	Questioned whether public relations studies have been done on the acceptance of the use of hydrogen fuel.
47	09/18/2001	Hydrogen Safety	Chuck Eaton	Meeting minutes		Air Quality	Questioned the safety of using hydrogen fuel in our automobiles.
48	09/18/2001	I-10 Express Terminal	Blue Crowley	Meeting minutes	ADOT	Transit	Suggest Phx. Give ADOT I-10 Express Terminal and ADOT could use the Vehicle Lic. Tax to complete the job.
49	09/18/2001	Transit	Blue Crowley	Meeting minutes	ADOT	Transit	Commented there are no buses at several of the proposed light rail stops.
50	09/20/2001	AARP's "55 Alive" Program	Mel Brauns	email			Requested CTOC look at the issue of the AARP 55 ALIVE Drivers Safety Program.
51	10/25/2001	Power & Ellsworth	Rodd Mas	Public Meeting	Local Gov	Local	He is concerned about traffic overflow in his area when McKellips opens because Power & Ellsworth is still incomplete.

<i>ID</i>	<i>Date</i>	<i>Issue Description</i>	<i>Issue Source</i>	<i>Form of Request</i>	<i>Agency(s) Impacted</i>	<i>Issue Type</i>	<i>Summary/Comment</i>
52	10/25/2001	Jurisdictional Cooperation	Tom Buick	Public Meeting	MCDOT & Triblal & Mesa	Administrative	McDot, Mesa and the Tribal Council are working on the challenges dealing with jurisdictional cooperation regarding bridges across the Salt River at 115th Ave., and Deer Valley, etc.
53	10/25/2001	Transportation Planning	Lynn MacFadyen	Public Meeting & Let	ADOT	Planning	He is questioning the need of ramps in his area, concerned about the additional traffic and cost.
54	11/20/2001	Governance Issue	Brian Campbell	Meeting minutes	MAG	Administrative	On behalf of CTOC, Brian Campbell will draft a "position" statement with respect to the Governance issue.
55	11/20/2001	HOV vs. HOT lane study	Bill Beyer	Meeting minutes	ADOT	Freeway	Mr. Lance stated the results from the HOT lane study will be presented to CTOC in Jan. or Feb. 2002.
56	11/20/2001	US60 & 202L ramps	Bill Beyer	Meeting minutes	ADOT	Freeway	Commented the ramps between US60 East and 202L North should have two lanes.

28-6356. Citizens transportation oversight committee

Rpld 1/1/07

A. A citizens transportation oversight committee is established in counties with a population of one million two hundred thousand or more persons and that have levied a transportation excise tax pursuant to section 42-6104.

B. The citizens transportation oversight committee consists of the following members who are not elected officials of or employed by this state or any county, city or town in this state:

1. One member who serves as chairperson of the committee and who is appointed by the governor pursuant to section 38-211.

2. One member who represents each supervisorial district in the county and who is appointed by the board of supervisors. The board of supervisors shall consult with the mayors of each city and town located within each supervisorial district regarding appointments. At all times during the term, each member appointed pursuant to this paragraph shall legally reside in a different city or town located in the county. Members appointed pursuant to this paragraph shall have expertise in transportation systems or issues.

3. One member who resides in the county and who is appointed by the governor pursuant to section 38-211.

C. Members shall be appointed for terms of three years.

D. The chairperson shall also serve as:

1. A nonvoting member of the departmental committee established by section 28-6951 only for issues relating to the regional freeway system. The chairperson may appoint a designee to attend meetings of the departmental committee.

2. A voting member of the governing body of the regional planning agency in the county for all matters relating to the regional freeway system.

E. The citizens transportation oversight committee shall meet at least once each calendar quarter.

F. The citizens transportation oversight committee shall:

1. Review and advise the board, the governor, the director and the governing body of the regional planning agency on matters relating to the regional freeway system.

2. Review and make recommendations regarding any proposed major revision of the regional transportation plan by the governing body of the regional planning agency. For the purposes of this paragraph, "major revision" means an addition or deletion of a corridor or corridor segment in the regional freeway system.

3. Annually review and comment on the criteria developed pursuant to section 28-6354, subsection B.

4. Hold public hearings and issue public reports as it deems appropriate.

5. Annually contract with an independent auditor who is a certified public accountant to conduct a financial compliance audit of all expenditures for the regional freeway system and receive the auditor's report. The department shall reimburse the committee for the cost of this audit from the highway user revenue fund pursuant to section 28-6538, subsection B, paragraph 1.

6. In consultation with the auditor general, set parameters for the performance audit prescribed in section 41-1279.03, subsection A, paragraph 6 in the county, review the results of the auditor general's performance audit and make recommendations to the regional planning agency, the department, the speaker of the house of representatives, the president of the senate and the governor.

G. The committee may:

1. Receive written complaints from citizens regarding adverse impacts of freeway design, determine which complaints warrant further review and make recommendations to the state transportation board regarding the complaints.

2. Receive written complaints from citizens relating to the regional planning agency's responsibilities as prescribed in this chapter, determine which complaints warrant further review and make recommendations to the regional planning agency regarding the complaints.

3. Make recommendations to the regional planning agency and the state transportation board regarding the five year construction program and the life cycle management program for the regional freeway system.

H. Failure by the citizens transportation oversight committee to act does not bar the governing body of the regional planning agency from taking action.

I. Members of the committee are not eligible to receive compensation or reimbursement for expenses.

## INDEPENDENT ACCOUNTANTS' REPORT ON APPLYING AGREED-UPON PROCEDURES

Citizens Transportation Oversight Committee  
Phoenix, Arizona

We have performed the procedures enumerated below, which were agreed to by the Maricopa Regional Area Road Fund's (the "Fund") management and the Citizens Transportation Oversight Committee (the "Committee"), solely to assist you with respect to the Fund's level of compliance with Arizona Revised Statutes 28.6301 through 28.6392 for the year ended June 30, 2001. The Fund's management is responsible for the Fund's compliance with those requirements. This agreed-upon procedures engagement was conducted in accordance with attestation standards established by the American Institute of Certified Public Accountants. The sufficiency of the procedures is solely the responsibility of the specified users of the report. Consequently, we make no representation regarding the sufficiency of the procedures described below either for the purpose for which this report has been requested or for any other purpose.

1. We obtained an "EXCEL" report listing all payments made to contractors or consultants from the Fund during the year ended June 30, 2001. Management represented to us that this report was extracted from the accounting system (ADVANTAGE) and was a complete listing.
2. We randomly selected 25 expenditures from the listing obtained in number one above, covering different corridors (i.e., Pima, Red Mountain), and phases (i.e., Construction, Design, and Right of Way ("ROW")).
3. The Construction and Design expenditures were agreed to ADVANTAGE Payment Estimates and, if the projects were completed, to the Progress and Final Payment Reports ("PFPR"). No exceptions were noted.
4. The ROW expenditures were agreed to ADVANTAGE Payment Estimates and Supplemental Receiving Reports or Arizona Department of Transportation Procurement Documents. No exceptions were noted.
5. We obtained the object codes and activity codes used to classify the expenditures from the ADVANTAGE Payment Estimates. We compared these codes to the Fund's Project Charging Guidelines to determine whether the expenditures were allowable. All codes were included in the Fund's Project Charging Guidelines as an allowable cost.
6. We compared to the project number for all of the selected expenditures to the Maricopa Association of Governments Regional Freeway Life Cycle Program ("MAG Program") for the year in which the project originated, without exception. We determined that the total expenditures to date for the project did not exceed the budgeted amount per the MAG Program plus third-party contributions and approved budget increases.

We were not engaged to, and did not, perform an examination, the objective of which would be the expression of an opinion on the specified elements, accounts, or items. Accordingly, we do not express such an opinion. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the use of the specified parties listed above and is not intended to be and should not be used by anyone other than these specified parties.

*Deloitte & Touche LLP*

December 3, 2001

**ARIZONA DEPARTMENT OF TRANSPORTATION**  
**Regional Freeway System**  
**2000 Audit Quarterly Action Plan Report**  
**July 01, 2001 to December 31, 2001**

Item	Description	Sponsor / Owner	Target Completion Date	Comments	Actual Completion Date
<b>RECOMMENDED ACTION ITEMS</b>					
<b>ADOT Should:</b>					
1	Clearly define the roles, responsibilities, and accountabilities of all members of a project team. Specifically, it should designate project managers who have appropriate authority over team members and final accountability for scope, schedule and budget	<b>Sponsor:</b> Dan Lance  <b>Owner:</b> Steve Jimenez	<del>Oct. 2001</del> <b>REVISED</b> <b>July 2002</b>	<p>Action Plan Completed. This item will be addressed as part of the review and update of the Project Development Process Manual. An RFP for consultant assistance to assess the engineering project management skills required and where additional training would be beneficial has been developed. The manual update is expected to begin soon. Statewide Project Management is working with Procurement to initiate a contract to update the Project Development Manual.</p> <p><b>12/01 The manual has been reviewed in-house and the portion that shows the roles and responsibilities of the Project Manager and Project Team were determined to be sufficient. The update will focus on making the manual compatible with the current ADOT organization structure.</b></p> <p><b>12/01 The Audit suggests that the PM's should have a greater role during construction with the PM leading and directing the project from "cradle to grave" concept. ADOT's current process seems to function reasonably well. Management is reviewing this issue to determine if there needs to be any further consideration of changes to improve and better define the PM's authority during construction, operations and maintenance. A new training program titled "Managing the Project Development Process" is being developed and will be offered to PM's, Technical Managers, Technical leaders and consultants beginning in April 2001. The 2 day training is titled "Managing Project Development". The train pilot courses have been completed and a schedule for training established.</b></p> <p><b>12/01 The initial Team Training Classes have been initiated and follow-up training is being considered.</b></p>	

**ARIZONA DEPARTMENT OF TRANSPORTATION**  
**Regional Freeway System**  
**2000 Audit Quarterly Action Plan Report**  
**July 01, 2001 to December 31, 2001**

Item	Description	Sponsor / Owner	Target Completion Date	Comments	Actual Completion Date
<b>RECOMMENDED ACTION ITEMS</b>					
				<p>A team has addressed the issue resolution process by developing and implementing a new "Issue Resolution Process – Development". A partnering workshop is scheduled on April 17, 2001 with PMs and District Resident Engineers, to address roles, responsibilities and process improvements.</p> <p><b>12/01 ADOT management will review and decide the appropriate level of authority of the PMs to make decisions on Material Changes without further approval.</b></p>	
2(new)	<b>"To help ADOT meet its accelerated schedule and stay within budget, ADOT could better manage and tighten controls over the Regional Freeway System."</b>	<b>Sponsor:</b> <b>Steve Jimenez</b>  <b>Owner:</b> <b>Project Managers</b>	<b>Jan. 2002</b>	The 2000 Performance Audit recommendations 2, 3, 4, 5 and 6 are all related to improving and implementing better project management controls and documentation. The action plan for each of these involves many of the same processes and can best be addressed as one Action Item: Action Plan Completed.	<b>COMPLETE</b> <b>Dec. 2001</b>
2a (old 2)	Identify additional information to be documented during project development and construction and who is or should be maintaining the documentation. At a minimum, documentation should include deliverables and documentation of significant decisions and actions taken during the course of individual projects.			Data elements for a monthly "Active Project Status Report" have been determined and a report developed. The report will be distributed monthly to ADOT management, PM's and Project Team members starting in September 2000. The "Active Project Status Report" is being updated and distributed to PMs & Technical leaders monthly. Additionally, more detailed reports are being updated and utilized by the PMs. The "Group Manager Report" is provided to executive leaders for monitoring and tracking purposes. The "Issue Resolution Process – Development" has been documented and distributed to PMs, Team Leaders, Residents and Management. "Documents required for Design Phase Submittals" and "Submittal Required Document Checklists" have been	<b>Dec. 2001</b>

**ARIZONA DEPARTMENT OF TRANSPORTATION  
Regional Freeway System  
2000 Audit Quarterly Action Plan Report  
July 01, 2001 to December 31, 2001**

Item	Description	Sponsor / Owner	Target Completion Date	Comments	Actual Completion Date
<b>RECOMMENDED ACTION ITEMS</b>					
				<p>developed, documented and implemented into the Project Management Process for each design phase, Stage 1, 2, 3, 4 and Final PS&amp;E.</p> <p>The Role and Responsibilities of the Project Review Board (PRB) have been documented and distributed. The primary function of the PRB is to assist the Project Team in meeting the approved scoped, schedule and budget requirements of their projects.</p> <p><b>12/01 COMPLETE</b> The manual has been reviewed and it is recommended that the organizational structure be updated. As addressed in the Audit Item #1, a consultant is being hired to assess the engineering project management skills and additional training needed.</p> <p>To better address documentation and adequacy of deliverables, a project deliverables check list has been implemented and PMs are using the check list process to approve deliverable at each stage of design.</p>	
2b (old 3)	<p>For each constituency group identify key information elements. Monitor project progress throughout the project's life cycle and identify variances from the plan with the intent to proactively alter the course of a project as necessary.</p>			<p>Efforts are underway to assure that the project data in Primavera is complete. All active projects have been updated in Primavera. The project team is developing schedules at the design kickoff meetings. Schedules are being reviewed and updated monthly.</p> <p><b>12/01 COMPLETE</b> The project team uses the plan reviews to document project changes. If the changes are considered "Material" as defined in the ADOT/MAG Material Change Policy, the PMs must take the change through the Material Change Process, which involves approvals by both the MAG Regional Council and ADOT Board. Non-Material Changes can be escalated for</p>	Dec. 2001

**ARIZONA DEPARTMENT OF TRANSPORTATION  
Regional Freeway System  
2000 Audit Quarterly Action Plan Report  
July 01, 2001 to December 31, 2001**

Item	Description	Sponsor / Owner	Target Completion Date	Comments	Actual Completion Date
<b>RECOMMENDED ACTION ITEMS</b>					
				resolution of disputes. An "Escalation Process" has been implemented. See attached.	
2c (old 4)	Use a project management system as a tool to monitor costs as part of project and track overall program status.			<p>All Projects schedules are being updated and customized in the Primavera Data Base to enabling PM's to better track overall program status. All active projects have been updated in Primavera. A performance criterion that is related to the budget and actual cost is being reviewed. A tracking document that will document cost estimate at each Phase of development is being developed. A computation of the Labor Performance Index (LPI, the Cost Performance Index (CPI) and the Schedule Performance Index are being considered as measures for monitoring costs as part of tracking overall program status.</p> <p><b>12 / 01 COMPLETE</b> Project Cost Estimates are captured at each phase of development. The RFS Office maintains data relative to the latest cost estimate and its comparison to the Program and Project Budget. As mentioned above better automated systems are being reviewed and considered. It is believed that the current system is sufficient until something better is ultimately developed.</p>	<b>Dec. 2001</b>
2d (old 5)	Require all employees to fully utilize the department's automated			Efforts are underway to assure that the project data in Primavera is complete. All underway projects will have complete, updated schedules by the end of Dec. 2000. All active projects have been	03/31/01

**ARIZONA DEPARTMENT OF TRANSPORTATION**  
**Regional Freeway System**  
**2000 Audit Quarterly Action Plan Report**  
**July 01, 2001 to December 31, 2001**

Item	Description	Sponsor / Owner	Target Completion Date	Comments	Actual Completion Date
<b>RECOMMENDED ACTION ITEMS</b>					
	system, Primavera, since ADOT purchased it to function as its project management system.			updated in Primavera. The team at the design kickoff meeting is developing schedules. This item is essentially done.	
2e (old 6)	Fully utilize the project management system by inputting the necessary data so that reliable reports can be produced in a timely manner. Evaluate its reports to determine which reports can be eliminated or consolidated with the intent to reduce duplication of efforts and the number of reports.			All Projects schedules are being updated and customized in the Primavera Database. VPM is providing assistance to PMs, Team Managers and Team Leaders in reading and understanding reports. Reports tailored for the Group Managers, Technical Leaders, Technical Mangers and PMs have been developed, implemented and are updated monthly. They include the Active Project Status Report, the Program Management Report, the Project Managers Report and the Highway Program Performance Measurement Charts. A new report called the Program Status Report is nearly complete and will be issued quarterly showing the status of the overall program. This item is essentially complete.	03/31/01
7	Refine its post review process for all projects and apply lessons learned to future projects. Best practices should be communicated to all team members and implemented on all projects.	<b>Sponsor:</b> Dan Lance <b>Owners:</b> a) Paul Hurst b) Proj. Mgr. c) Residents	<del>Sept. 2001</del> <b>(Jan 2002 REV)</b> <b>Revised August 2002</b>	Action Plan Completed. Construction Section has begun Action Steps 1 and 2 that identify documents and data which detail lessons learned and collect information and incorporate in database. <b>12/01 In November of 2001 a team was assembled to develop and implement a common database that will allow data entry, analysis, and reporting of all Supplemental Agreements generated by the construction offices. Reports will be generated from this database and sent to appropriate Sections so that process improvements (lessons learned) can be implemented on future projects.</b>	

**ARIZONA DEPARTMENT OF TRANSPORTATION**  
**Regional Freeway System**  
**2000 Audit Quarterly Action Plan Report**  
**July 01, 2001 to December 31, 2001**

Item	Description	Sponsor / Owner	Target Completion Date	Comments	Actual Completion Date
<b>RECOMMENDED ACTION ITEMS</b>					
8	Reconsider existing performance measurement systems and develop more useful measures.	<b>Sponsor:</b> Dan Lance  <b>Owners:</b> Chuck Eaton Steve Jimenez Perry Powell	Oct. 2001 <b>REVISED</b> July 2002	Action Plan Completed. A meeting was held on 2/5/01 to review objectives and measures contained in the Agency and ITD strategic plans. Other Objectives and measures were discussed as possible more effective measures. A list of existing and newly proposed measures for each of the Agency Goals was developed. Following an analysis of the proposed measures, a future meeting will be scheduled to determine which measure will be most effective.  <b>12/01 A meeting will be scheduled with the team in January 2002 to begin refinement and recommendation on new performance measures.</b>	
9	Reconsider revising cost estimates to reflect the estimated effects of inflation, rather than adjusting revenues, in order to provide a more accurate estimate of actual costs. Additionally, a more accurate cost estimate could be used as a benchmark for cost containment.	<b>NA</b>	NA	Since this item was thoroughly addresses as a part of the 1997 audit, ADOT chooses to maintain consistency by continuing the current method of addressing inflation.	NA
<b>Related to Air Quality</b>					
<b>ADOT Should:</b>					
10	<b>Monitor the impact of future air quality violations or possible federal sanctions on ADOT's ability to meet critical milestones and budget goals.</b>	<b>Sponsor:</b> Chuck Eaton  <b>Owner:</b> Pat Cupell	<b>Oct. 2002</b>	Action Plan Completed. A monthly documentation process is being developed and will be implemented in March 2001. A distribution list will be developed as part of the process and monthly reports will be distributed on Inter and Intra-Agency transportation and air quality issues. This will also become part of the processes that will be developed for Audit Recommendation #12. An information sharing process will begin in April, 2001. The	<b>COMPLETE</b> <b>DEC 2001</b>

**ARIZONA DEPARTMENT OF TRANSPORTATION**  
**Regional Freeway System**  
**2000 Audit Quarterly Action Plan Report**  
**July 01, 2001 to December 31, 2001**

Item	Description	Sponsor / Owner	Target Completion Date	Comments	Actual Completion Date
<b>RECOMMENDED ACTION ITEMS</b>					
				<p>information was not available in March. This will be the information that is documented at the Air Quality Planning and Technical Committee Meetings as part of the overall required transportation and air quality federal and state requirements. A distribution list is being developed. This will become part of the overall integration of air quality issues into all transportation plans, programs and projects shown in Audit Recommendation #12. A documentation process has been implemented and monthly reports will be distributed on Inter and Intra-Agency transportation and air quality issues. The information to be distributed will be those issues that are documented as part of the MAG Air Quality Planning and Technical Committee Meetings and other information as applicable, i.e., Federal Register Proposals and Final Rules, actions taken in other states, etc. This will become part of the overall integration of air quality issues into all transportation plans, programs and projects as shown in Audit Recommendation #12.</p> <p><b>See Audit Recommendation #12.</b></p>	
11	<p>Ensure that project managers, personnel, and stakeholders have the opportunity for participation in available air quality educational programs.</p>	<p><b>Sponsor:</b>  <b>Dan Lance</b>  <b>Owner:</b>            Steve Jimenez            Pat Cupell;            Perry Powell;            John Hauskins</p>	<p><b>Oct. 2002</b></p>	<p>Action Plan Complete. A Community College Course for Particulate Matter on Construction Sites was identified and some of the ADOT Construction and Maintenance personnel attended this course. As a continuation of this effort, the ADOT Air Quality Team partnered with Arizona State University and Maricopa County Environmental Services and developed a particulate matter-working manual. This working manual and other transportation and air quality related issues were the focus of a 1-day workshop that was conducted on September 18<sup>th</sup>, 2000. This workshop was for ADOT personnel and stakeholders. As a continuation of the efforts to provide educational opportunities for transportation and air quality issues the ADOT Air Quality Team introduced a recommendation to the Governor's Brown Cloud Summit for Dust Control Training for all stakeholders. This effort included a dust prevention presentation to the Brown Cloud Subcommittee for Stationary and Area Sources. This recommendation was adopted by the Brown Cloud Summit and will</p>	<p><b>COMPLETE            DEC 2001</b></p>

**ARIZONA DEPARTMENT OF TRANSPORTATION**  
**Regional Freeway System**  
**2000 Audit Quarterly Action Plan Report**  
**July 01, 2001 to December 31, 2001**

Item	Description	Sponsor / Owner	Target Completion Date	Comments	Actual Completion Date
<b>RECOMMENDED ACTION ITEMS</b>					
				<p>go to the Governor for approval in January 2001. Funding has been appropriated to develop and implement a standardized dust control certification program for construction activities for compliance with Maricopa County Rule 310. Following approval of the Brown Cloud Report and in partnership with Maricopa County, ADEQ, the Contractor Community, and other entities, this educational program will be developed and implemented by late 2001 or early 2002. The class developed by ADOT and the PM-10 manual will be used for interim training until the completion of the standardized program. This will also become part of Audit Recommendation #12.</p> <p>The Governor's Brown Cloud Summit approved the PM-10 standardized educational program and the Technical Advisory Committee (TAC) for the development of the program has been formed. The TAC has met and has completed the development of an evaluation form for hiring a consultant. The ADOT Air Quality Team, in coordination with the Arizona Department Environmental Quality, sponsored a Vendor's Fair for demonstrations of available dust palliatives.</p> <p>Several of ADOT's engineers attended the vendor's fair. This vendor's fair was held in conjunction with the ADOT Air Quality Team and Maricopa County Environmental Services serving as co-hosts to the California South Coast Best Available Control Measures quarterly meeting.</p> <p>The Air Quality Team Web page is currently being updated. The Air Quality Team Web page, titled AIR AWARE, is being reviewed by the web site administrator and should be on line in the next two weeks.</p> <p>The consultant review for the development of the standardized air quality educational and outreach program has been completed and is being finalized. This will be an ongoing effort for approximately the next 18 months.</p>	

**ARIZONA DEPARTMENT OF TRANSPORTATION**  
**Regional Freeway System**  
**2000 Audit Quarterly Action Plan Report**  
**July 01, 2001 to December 31, 2001**

Item	Description	Sponsor / Owner	Target Completion Date	Comments	Actual Completion Date
<b>RECOMMENDED ACTION ITEMS</b>					
				<p>The ADOT Air Quality Team has requested a presentation be given, by Maricopa County Environmental and Arizona Department of Environmental Quality, on future equipment mandates that will impact ADOT. This presentation will be given as part of the Air Quality and Technical Advisory Committee Meeting and will be distributed accordingly.</p> <p>All of the activities described in this recommendation will also become part of the overall effort to integrate air quality issues into transportation plans, programs and projects as shown in Performance Audit Recommendation #12.</p> <p><b>See Audit Recommendation #12.</b></p>	
12 (incl. 13)	Continue to integrate air quality issues into all transportation plans, programs, and projects to reduce the possibility of federal sanctions.	<p><b>Sponsor:</b> Mary Lynn Tischer</p> <p><b>Owners:</b> Pat Cupell</p>	<b>Oct. 2002</b>	<p>Action Plan Complete. Item 13 will be addressed as part of the action plan for this item. Audit Recommendations # 10, 11, and 13 will eventually become part of the overall efforts to integrate air quality issues into all transportation plans, programs, and projects to reduce the possibility of federal sanctions. As part of this effort during this reporting period a Project Process Manual was developed with the ADOT Local Governments Section which included air quality issues. The ADOT Air Quality Team made several air quality presentations in and outside of ADOT. These included the presentation to the Brown Cloud Subcommittee, the ADOT Audit and Analysis Section, several areas within the ADOT Motor Vehicle Division, etc. The resource commitment that was required for the Governor's Brown Cloud efforts did impact the beginning of the overall operations review that will be required to complete this Audit Recommendation. This effort is now scheduled to begin in January 2001 with a projected completion date of the end of 2002.</p> <p>An operations review was initiated with the identification of each ADOT Org. and the Mission Statement of the Org.</p>	

**ARIZONA DEPARTMENT OF TRANSPORTATION  
Regional Freeway System  
2000 Audit Quarterly Action Plan Report  
July 01, 2001 to December 31, 2001**

Item	Description	Sponsor / Owner	Target Completion Date	Comments	Actual Completion Date
<b>RECOMMENDED ACTION ITEMS</b>					
12 (incl. 13)				<p>The ADOT Transportation Planning Air Quality Team also met with staff from the Motor Vehicle Division and was given the go-ahead to place air quality materials in the Maricopa County Driver's License Stations. These materials are currently being developed. The Governor's Brown Cloud Summit concluded with several approved recommendations that will impact ADOT. These recommendations will be researched and analyzed for feasibility by the Transportation Planning ADOT Air Quality Team. Action on these recommendations would become part of the overall efforts to integrate transportation and air quality issues into all transportation plans, programs and projects.</p> <p>The Transportation Planning Air Quality Team initiated a meeting with the ADOT District Engineer, the Project Manager for the Grand Ave. / Thomas Rd. / 27<sup>th</sup> Ave. fly-over project, Contracts and Specifications and the Arizona Department of Environmental Quality for air quality consultation. This meeting resulted in some very positive recommendations and action items to try and ensure that the project does not result in air quality violations at the construction site. The participants also agreed that the Air Quality issues for this project should be included as part of the Project Partnering Conference.</p> <p>Through the efforts of ADOT the Maricopa County CMAG guidelines will be reviewed for possible revisions or enhancements. This issues will be included as part of the overall integration process.</p> <p>Air quality was also included as an issue in the ADOT Transportation Planning and Local Programs Project Processes Manual that has been developed.</p> <p>Air quality issues have been tentatively discussed as being addressed as part of the initial DCR Meeting.</p>	

**ARIZONA DEPARTMENT OF TRANSPORTATION  
Regional Freeway System  
2000 Audit Quarterly Action Plan Report  
July 01, 2001 to December 31, 2001**

Item	Description	Sponsor / Owner	Target Completion Date	Comments	Actual Completion Date
<b>RECOMMENDED ACTION ITEMS</b>					
				<p>As part of the development of the AIR AWARE web-site, an electronic map of the carbon monoxide, ozone and PM-10 air quality monitoring sites in Maricopa County has been provided. The integration of this tool will provide critical information for design personnel to consider during the development of projects. An electronic version of the statewide monitoring sites will also be developed.</p> <p>An internal Performance Audit is proceeding through the Transportation Planning Division (TPD) Air Quality Team. This effort will provide the needed information for the complete integration of air quality into all transportation plans, programs and projects. This effort will conclude in late 2002 and deliverables will include a final report with recommendations.</p> <p>The TPD Air Quality Team is preparing an air quality presentation for the upcoming WASHTO Conference in July. This presentation will provide insight for participants as to the many committees and partnerships that ADOT has initiated or participates in, for consultation, cooperation and coordination on air quality issues.</p> <p>The TPD Air Quality Team was included in a nomination by Maricopa County for a Desert Peaks Award for Public Partnerships.</p> <p>The TPD Air Quality Team is addressing recent legislation on several issues that were the result of the Governor's Brown Cloud Summit. These issues will become part of the overall air quality integration effort.</p> <p><b>09/01 In a continuing effort to integrate transportation and air quality issues into all transportation plans,</b></p>	

**ARIZONA DEPARTMENT OF TRANSPORTATION**  
**Regional Freeway System**  
**2000 Audit Quarterly Action Plan Report**  
**July 01, 2001 to December 31, 2001**

Item	Description	Sponsor / Owner	Target Completion Date	Comments	Actual Completion Date
<b>RECOMMENDED ACTION ITEMS</b>					
				<p>programs and projects the Transportation Planning Division's Air Quality Team completed the development of the AIR AWARE Website. This website has been published as part of the ADOT web page and will be continuously updated with up to date information on all issues relating to transportation and air quality. This has positive impacts for Audit Recommendations #10 and 11.</p> <p>The consultant has been selected for developing the ADOT PM-10 standardized educational program for contractors and other stakeholders. The kick-off meeting was delayed, but has been re-scheduled for this month. As part of this meeting a representative from the ADOT PIO has been invited to participate. This would positively impact Audit Recommendation #13.</p> <p>The Air Quality Team participated in a Dust Control Workshop in Clark County, Nevada. This area is beginning to develop educational materials for PM-10 and a recommendation will be made to the ADOT consultant to look at the efforts in this area for our educational efforts.</p> <p>The Air Quality Team developed air quality related white papers for the ADOT Core Team for issues that could impact the agency.</p> <p>A presentation on transportation and air quality issues</p>	

**ARIZONA DEPARTMENT OF TRANSPORTATION  
Regional Freeway System  
2000 Audit Quarterly Action Plan Report  
July 01, 2001 to December 31, 2001**

Item	Description	Sponsor / Owner	Target Completion Date	Comments	Actual Completion Date
<b>RECOMMENDED ACTION ITEMS</b>					
				<p>was made by the Air Quality Team at the WASHTO conference and was facilitated by a member of the Arizona State Transportation Board.</p> <p>As part of an effort by the District I Engineer and the Air Quality Team, air quality will be an issue that is discussed as part of the upcoming partnering conference for the 27<sup>th</sup> Ave. / Grand Ave. / Thomas Rd. construction project.</p> <p>The Air Quality Team arranged for a presentation by the Arizona Department of Environmental Quality on the upcoming requirements for off-road diesel equipment known at Tier II and Tier III. These equipment changes will impact the agency and are part of the integration process for this Audit Recommendation.</p> <p>Audit Recommendation # 13 will be an ongoing effort as the educational program is developed and implemented so the completion date is actually the same as #10, 11 &amp; 12, i.e. late 2002 or early 2003.</p> <p>12/01 The first meeting of the ADOT Technical Advisory Committee for the development of the standardized training program was held with the other stakeholders. The consultant has already completed two of the agreed upon tasks and will continue with their effort throughout 2002. The first Draft Technical Memorandum, Summary</p>	

**ARIZONA DEPARTMENT OF TRANSPORTATION**  
**Regional Freeway System**  
**2000 Audit Quarterly Action Plan Report**  
**July 01, 2001 to December 31, 2001**

Item	Description	Sponsor / Owner	Target Completion Date	Comments	Actual Completion Date
<b>RECOMMENDED ACTION ITEMS</b>					
				<p>of Air Pollutants in Maricopa County, has been received for comment.</p> <p>The formalized air quality integration effort is underway with the ADOT Air Quality Team contacting various ORG's throughout ADOT to discuss transportation and air quality issues. As part of this effort the Air Quality Team was invited to the Partnering Session that was part of the beginning of the construction projects on 91<sup>st</sup> Ave and U.S. 60 and the Grand Ave. and Thomas Rd. fly-over. This resulted in a meeting with ADEQ, the contractors, Resident Engineer, Project Manager and the ADOT Air Quality Team. A daily reporting system between the contractor, Maricopa County Environmental, engineers and the Air Quality Team was developed to do everything we can to prevent any air quality exceedence or violations during the construction projects. These types of actions will be on-going as the transportation and air quality education and integration process continues throughout 2002. As part of the development of the continuing educational process a second workshop is being <u>tentatively</u> planned while the standardized program is in development.</p> <p>An Air Aware educational brochure is being developed as part of the education and integration process. This brochure is to be placed in the MVD Driver Licensing Stations in Maricopa County as part of a partnership with</p>	

**ARIZONA DEPARTMENT OF TRANSPORTATION  
Regional Freeway System  
2000 Audit Quarterly Action Plan Report  
July 01, 2001 to December 31, 2001**

Item	Description	Sponsor / Owner	Target Completion Date	Comments	Actual Completion Date
<b>RECOMMENDED ACTION ITEMS</b>					
				the Maricopa County Repair and Retrofit Program.	
13	Inform the public of the possible effects and impact of future air quality violations and possible sanctions on Regional Freeway System projects	<b>Sponsor:</b> Pat Cupell  <b>Owner:</b> Doug Nintzel	<b>Oct. 2001</b>	<p>Performance Audit Recommendation #13 will be included as part of the action plan and items for Performance Audit Recommendations #12 &amp; 14. These action items will include the establishment of a plan for improving public and media education and outreach and for informing the public of the possible effects and impact of future air quality violations and possible sanctions. <i>As part of the Governor's Brown Cloud Summit the Public Information Offices (PIO) of several agencies, including ADOT, were brought into the process to help inform the public of the air quality issues and the recommendations being made by the Summit and to ask for their input. Following the approval of the Brown Cloud Summit Report in January 2001 this process should become part of the effort to integrate air quality issues into all transportation plans, programs, and projects which is Audit Recommendation #12. The ADOT PIO will be included as part of the distribution list for the monthly air quality reports that will be implemented as part of Audit Recommendation #10. Issues can be identified and addressed as part of this documentation and reporting process.</i></p> <p>The distribution list referred to in Audit Recommendation #10 for sharing air quality information includes the ADOT PIO office. This recommendation will be included in the overall integration effort as shown in Audit Recommendation #12,</p>	
<b>RECOMMENDED ACTIONS CARRIED OVER FROM 1997 AUDIT</b>					

**ARIZONA DEPARTMENT OF TRANSPORTATION  
Regional Freeway System  
2000 Audit Quarterly Action Plan Report  
July 01, 2001 to December 31, 2001**

Item	Description	Sponsor / Owner	Target Completion Date	Comments	Actual Completion Date
<b>RECOMMENDED ACTION ITEMS</b>					
<b>ADOT Should:</b>					
14 (incl. 13)	Establish a plan for improving public and media education and outreach.		<b>Sept. 2001 REVISED July 2002</b>	<p>Action Plan Completed. ADOT will meet and coordinate with MAG representatives to implement the action plan. Item 13 will be addressed as part of the action plan for this item. <u>Refer to Audit Recommendation #11 and 13.</u></p> <p>Once the development of the standardized educational and outreach program begins the ADOT PIO will be invited to become part of that process. This should begin in early July 2001.</p> <p><b>12-01 ADOT and MAG have held a number of joint appearances at local events to provide information about Regional Freeway System. These have included booths at shopping malls. Outreach has also included distribution of freeway construction brochures to nearby Residents. ADOT has held six grand opening celebrations attended by thousands of local residents who had opportunity for up-close view of projects. Events were also highlighted in the local Media. Distribution of news releases and stories in local media, including newspaper columns which focus on transportation issues, have improved public knowledge of freeway-related issues, including funding. ADOT PIO also is regular guest on radio programs, fielding questions and providing information about the Regional Freeway System.</b></p>	

The following is a list of topics reviewed by CTOC during their regular 2001 meetings. The meeting dates where CTOC heard presentations and discussed the topics are shown with each topic. Meeting minutes that summarize the discussion on each of these topics are available on the CTOC web pages at <http://www.dot.state.az.us/podium/ctoc/index.htm>.

- **Regional Transportation Plan – 2040**  
March 20 & July 19, 2001
- **High Occupancy Vehicle / High Occupancy Toll Study**  
March 20, 2001
- **Freeway Maintenance**                      March 20, 2001
- **Red Mt. Loop 202 / US 60 Superstition System Interchange**  
May 15 & November 20, 2001
- **Elevated Transit**                              May 15, 2001
- **Impacts of Legislation and Budget Issues on Program Funding**  
September 18, 2001
- **I-17 Corridor Improvement Plan and SR 74 Access Control Plan**  
July 19, 2001
- **ADOT Intelligent Transportation Systems (ITS) Program**  
September 15, 2001
- **Alternative Fuel – Hydrogen**              September 15, 2001
- **Regional Transportation Governance**  
November 20, 2001

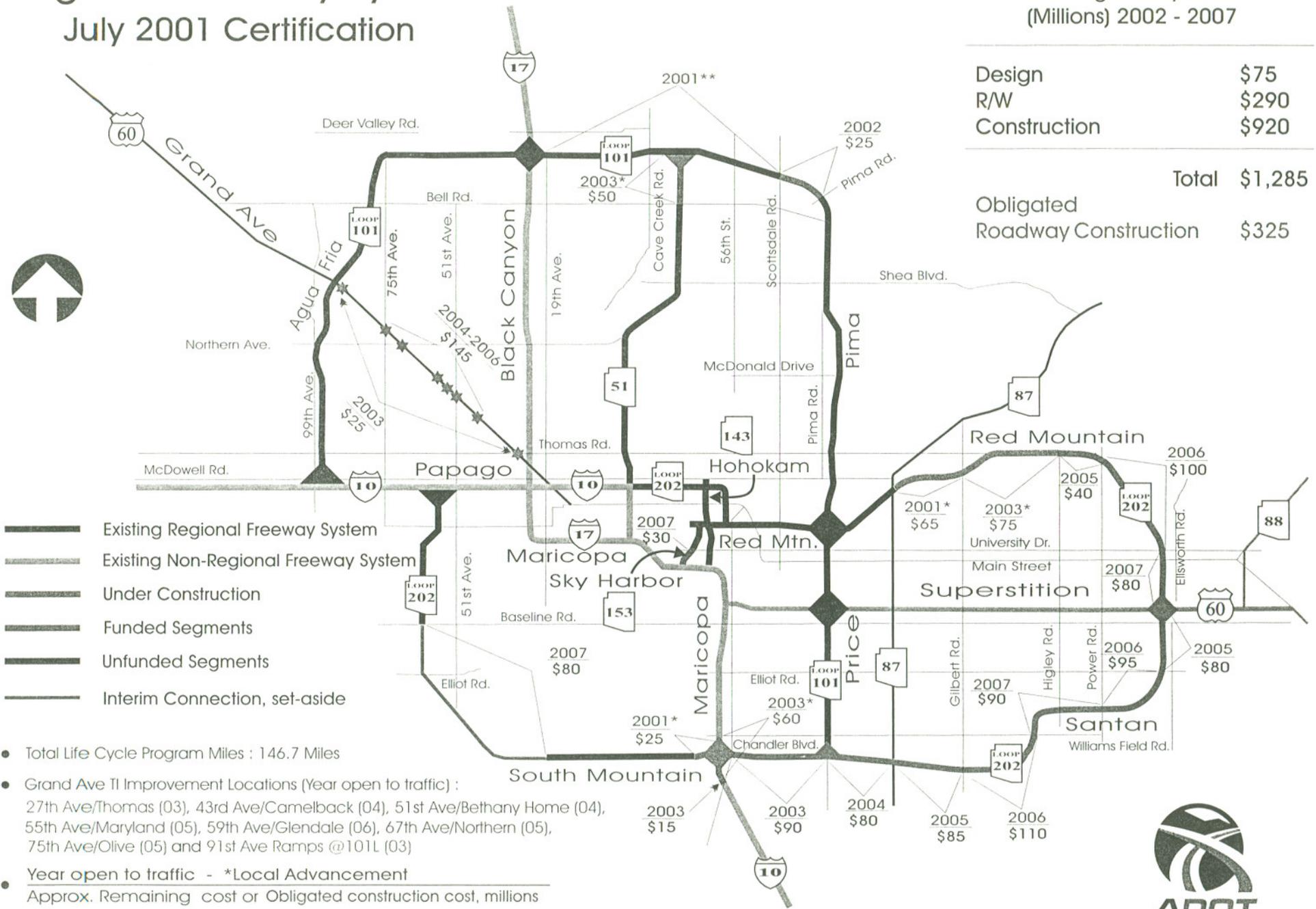
# Regional Freeway System July 2001 Certification

Remaining Life Cycle Cost  
(Millions) 2002 - 2007

Design	\$75
R/W	\$290
Construction	\$920

Total \$1,285

Obligated Roadway Construction	\$325
--------------------------------	-------



- Existing Regional Freeway System
- Existing Non-Regional Freeway System
- Under Construction
- Funded Segments
- Unfunded Segments
- Interim Connection, set-aside

- Total Life Cycle Program Miles : 146.7 Miles
- Grand Ave TI Improvement Locations (Year open to traffic) :  
27th Ave/Thomas (03), 43rd Ave/Camelback (04), 51st Ave/Bethany Home (04),  
55th Ave/Maryland (05), 59th Ave/Glendale (06), 67th Ave/Northern (05),  
75th Ave/Olive (05) and 91st Ave Ramps @101L (03)
- Year open to traffic - \*Local Advancement
- Approx. Remaining cost or Obligated construction cost, millions
- \*\* Pima Freeway between 19th Ave and Scottsdale Rd (10.3 miles) is targeted for completion in August 2001.

